

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Only for new nonprovisional applications under 37 CFR 1.53(b)

APPLICATION ELEMENTS
See MPEP chapter 600 concerning utility patent application contents

Attorney Docket No.	16514
First Inventor or Application Identifier	James J. Kernz
Title	Integrated Market Exchange System, Apparatus and Method for Facilitating Trade in Graded Encapsulated Objects
Express Mail Label No.	EV 329825824

MAIL STOP PATENT APPLICATION

Commissioner for Patents

ADDRESS TO: P. O. Box 1450
Alexandria, VA 22313-1450

1. *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant claims small entity status.
(Sec 37 CFR 1.27)
3. Specification [Total Pages 69]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 USC 113) [Total Sheets 21]
5. Oath or Declaration [Total Pages 2]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
[Note Box 5 below]

DELETION OF INVENTORS

 - i. Signed statement attached deleting inventor(s) named in the prior application, see CFR §§ 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. Paper
 - c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & documents)
10. 37 CFR §3.73(b) Statement Power of Attorney *(when there is an assignee)*
11. English Translation Document *(if applicable)*.
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. Request and Certificate under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach Form PTO/SB/35 or its equivalent
17. Other: Appendix (74 pages)

03970 U.S. PTO 10/649039
08/27/03

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation Divisional Continuation-in-part (CIP)

Prior application information: Examiner Susan F. Rayyan

of prior Application No. 10 / 055,603

Group/Art Unit 2177

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number	04859		
PATENT TRADEMARK OFFICE			
Name	William J. Clemens, Esq.		
Address			
City		Zip Code	
Country	Telephone	734/542-0900	Fax
Name (print/type)	William J. Clemens	Registration No. (Attorney/Agent)	26,855
Signature	William J. Clemens		
	Date August 27, 2003		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231
c:\2067\16514.sb05.doc

Certificate of Mailing by Express Mail

"Express Mail" Mailing Label No. EV 329825824 US Date of Deposit August 27, 2003. I hereby certify that this paper or fee is being deposited in the United States "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Terri L. Fox

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL
For FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 843)

Complete if known	
Application Number	
Filing Date	
First Named Inventor	James J. Kernz
Examiner Name	
Group/Art Unit	
Attorney Docket No.	16514

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)			
<input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input checked="" type="checkbox"/> Deposit Account: Deposit Acct. No. <u>13-0005</u> Deposit Acct. Name <u>MacMillan, Sobanski, & Todd, LLC</u> The Commissioner is authorized to: (Check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Credit any overpayments <input type="checkbox"/> Charge any additional fee(s) during the pendency of this action <input type="checkbox"/> Charge fee(s) indicated below, except the filing fee, to the above-identified deposit account.				3. ADDITIONAL FEES Large Entity Small Entity Fee Fee Fee Fee Fee Description Fee Paid Code (\$ Code (\$) 1001 750 2001 375 Utility filing fee <u>375</u> 1002 330 2002 165 Design filing fee _____ 1003 510 2003 255 Plant filing fee _____ 1004 740 2004 370 Reissue filing fee _____ 1005 160 2005 80 Provisional filing fee _____ SUBTOTAL (1) \$ <u>375</u>			
1. BASIC FILING FEE Large Entity Small Entity Fee Fee Fee Fee Fee Description Fee Paid Code (\$ Code (\$) 1001 750 2001 375 Utility filing fee <u>375</u> 1002 330 2002 165 Design filing fee _____ 1003 510 2003 255 Plant filing fee _____ 1004 740 2004 370 Reissue filing fee _____ 1005 160 2005 80 Provisional filing fee _____ SUBTOTAL (1) \$ <u>375</u>				1251 110 2251 55 Surcharge - late filing fee or oath 1252 410 2252 205 Surcharge - late provisional filing 1253 930 2253 465 fee or cover sheet 1254 1,440 2254 720 Non-English specification 1255 1,970 2255 985 For filing a request for <i>ex parte</i> 1401 320 2401 160 reexamination 1402 320 2402 160 Requesting publication of SIR prior 1403 280 2403 140 to Examiner action 1451 1,510 1451 1,510 Requesting a publication of SIR after Examiner action 1251 110 2251 55 Extension for reply within 1 st month 1252 410 2252 205 Extension for reply within 2 nd month 1253 930 2253 465 Extension for reply within 3 rd month 1254 1,440 2254 720 Extension for reply within 4 th month 1255 1,970 2255 985 Extension for reply within 5 th month 1401 320 2401 160 Notice of Appeal 1402 320 2402 160 Filing a brief in support of an appeal 1403 280 2403 140 Request for oral hearing 1451 1,510 1451 1,510 Petition to institute a public use proceeding 1452 110 2452 55 Petition to revive - unavoidable 1453 1,300 2453 650 Petition to revive - unintentional 1501 1,300 2501 650 Utility issue fee (or reissue) 1502 470 2502 235 Design issue fee 1503 630 2503 315 Plant issue fee 1460 130 1460 130 Petitions to the Commissioner 1807 50 1807 50 Petitions related to provisional applications 1806 180 1806 180 Submission of Information Disclosure Statement 8021 40 8021 40 Recording each patent assignment per property (times number of properties) 1809 750 2809 375 Filing a submission after final rejection (37 CFR 1.129(a)) 1810 750 2810 375 For each additional invention to be examined (37 CFR 1.129(b)) 1801 750 2801 375 Request for Continued Examination 1802 900 1802 900 Request for expedited examination of a design application Other fee (specify) _____			
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE Fee from Extra Below Fee Paid Total Claims <u>58</u> 20** = <u>38</u> <u>18/9</u> = <u>342</u> Independent Claims <u>6</u> 3** = <u>3</u> x <u>84/42</u> = <u>126</u> Multiple Dependent _____ x <u>280/140</u> = _____				*Reduced by Basic Filing Fee Paid SUBTOTAL (3) \$ <u>0</u>			
SUBTOTAL (2) \$ <u>468</u> ** or number previously paid, if greater; for Reissues, see above							

SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	William J. Clemens			Reg. No.	26,855
Signature				Date	August 27, 2003
				Deposit Account User ID	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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